



031904

13281 U.S. PTO

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL***(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Attorney Docket No. 403012/AOYAMA

Client Reference No.

First Inventor Kazushige KAWASAKI

Title

SEMICONDUCTOR OPTICAL  
DEVICE AND METHOD OF  
MANUFACTURING THE SAME

Express Mail Label No.

U.S. PTO  
17548  
10/803956

031904

**APPLICATION ELEMENTS**

1. ☒ Utility Patent Application Transmittal Form
2. ☐ Applicant claims small entity status. See 37 CFR 1.27.
3. ☒ Specification (including claims and abstract) [Total Pages 16]
4. ☒ Drawings [Total Sheets 4]
5. ☒ Combined Declaration and Power of Attorney [Total Pages 3]
  - a. ☒ Newly executed
  - b. ☐ Copy from prior application [Note Box 6 below]
    - i. ☐ Deletion of Inventor(s) Signed statement attached deleting inventor(s) named in the prior application
6. ☐ Incorporation by Reference: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b is considered as part of the disclosure of the accompanying application and is hereby incorporated by reference.
7. ☒ Application Data Sheet. See 37 CFR 1.76
8. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
9. Nucleotide and/or Amino Acid Sequence Submission
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ Paper Copy
  - c. ☐ Statement verifying identity of above copies

**Mail Stop Patent Application**  
**Commissioner for Patents**  
**P.O. Box 1450**  
**Alexandria, VA 22313-1450****ACCOMPANYING APPLICATION PARTS**

10. ☐ Applicant requests early publication. (include publication fee under 37 CFR 1.18(d))
11. ☒ Assignment Papers (cover sheet and document(s))
12. ☐ 37 CFR 3.73(b) Statement (when there is an Assignee)
13. ☐ Power of Attorney
14. ☐ English Translation Document (if applicable)
15. ☒ Information Disclosure Statement (IDS)
  - ☒ Form PTO-1449
  - ☒ Copies of References (except for U.S. patents and applications)
16. ☒ Preliminary Amendment
17. ☒ Return Receipt Postcard (Should be specifically itemized)
18. ☒ Claim of Priority & Certified Copy of Priority Document(s)
19. ☐ Request & Certification Under 35 USC 122(b)(2)(B)(i) (Form PTO/SB/35 or its equivalent attached)
20. ☐ Other:

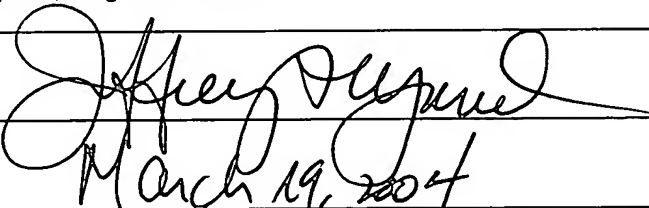
21. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below:

☐ Continuation ☐ Divisional ☐ Continuation-in-part of prior application no.

Prior application information: Examiner ; Group Art Unit:

## UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No.  
403012/AOYAMA  
Client Reference No.

APPLICATION FEES				
BASIC FEE				\$770.00
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	
Total Claims	6 -20=		x \$18.00	\$
Independent Claims	2 - 3=		x \$86.00	\$
<input type="checkbox"/> Multiple Dependent Claim if applicable			+ \$290.00	\$
Total of above calculations =				\$770.00
Reduction by 50% for filing by small entity =				\$( )
<input checked="" type="checkbox"/> Assignment fee if applicable			+ \$40.00	\$40.00
<input type="checkbox"/> Early publication fee if applicable			+ \$300.00	\$
TOTAL =				\$810.00
<p>22. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 12-1216 in the amount of \$810.00.</p> <p>23. <input type="checkbox"/> A check in the amount of \$ is enclosed.</p> <p>24. The Commissioner is hereby authorized to credit overpayments or charge any additional fees of the following types to Deposit Account No. 12-1216:</p> <p>a. <input checked="" type="checkbox"/> Fees required under 37 CFR 1.16.</p> <p>b. <input type="checkbox"/> Fees required under 37 CFR 1.17.</p> <p>25. <input type="checkbox"/> The Commissioner is hereby generally authorized under 37 CFR 1.136(a)(3) to treat any future reply in this or any related application filed pursuant to 37 CFR 1.53 requiring an extension of time as incorporating a request therefor, and the Commissioner is hereby specifically authorized to charge Deposit Account No. 12-1216 for any fee that may be due in connection with such a request for an extension of time.</p>				
26. CORRESPONDENCE ADDRESS				
<input checked="" type="checkbox"/> Customer Number: 23548  23548		<input type="checkbox"/> Jeffrey A. Wyand, Reg. No. 29,458 Leydig, Voit & Mayer 700 Thirteenth Street, N.W., Suite 300 Washington, D.C. 20005-3960 (202) 737-6770 (telephone) (202) 737-6776 (facsimile)		
Name	Jeffrey A. Wyand, Reg. No. 29,458			
Signature				
Date	March 19, 2004			